

**REQUEST FOR RECORDS DISPOSITION AUTHORITY***(See Instructions on reverse)*NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

U. S. Department of Commerce

2. MAJOR SUBDIVISION

Economic Development Administration

3. MINOR SUBDIVISION

*Planning & Development*  
~~Trade Adjustment Assistance Division~~

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Daniel J. Rooney

202-377-4115

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-378-92-1

DATE RECEIVED

2/7/92

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

2/13/92

ARCHIVIST OF THE UNITED STATES

## 6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE

4/13/92

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

Department of Commerce  
Records Management Officer**DIRECTOR FOR  
TRADE ADJUSTMENT ASSISTANCE**

On January 22, 1991, responsibility for the trade adjustment assistance program was transferred from the International Trade Administration (ITA) to the Economic Development Administration (EDA).

The Director of Trade Adjustment Assistance (TAA) administers the trade adjustment assistance program authorized under Chapters 3 and 4 of Title II of the Trade Act of 1974, as amended. This pertains to trade adjustment assistance given to firms and industries.

The Director, TAA directs the certification of firms eligible to apply for assistance, directs the provision of technical assistance to certified firms, and develops a monitoring program to assure that firms comply with the terms of their adjustment proposals and any agreements pertaining to the adjustment assistance received. He coordinates these activities with other federal agencies, including the U.S. Department of Labor, the International Trade Commission, and the Office of the United States Trade Representative (USTR).

The attached schedule has been developed to reflect the above transfer of TAA from ITA to EDA. It supersedes N1-151-88-2. TAA previously provided financial assistance to eligible firms, and these records were also scheduled in N1-151-88-2. In 1987, this function was transferred to the EDA Credit and Debt Management and Liquidation Divisions. Financial assistance files are not included in this disposition request.



## 1. The Director's Subject Correspondence File.

Alphabetical subject files consisting of incoming and outgoing correspondence, memoranda, reports, studies and related papers. These deal with the management of the trade adjustment assistance program, issues of interest to the Director and his staff, and the management of activities of the organizational units reporting to the Director. Some project related documents are also in the file.

Destroy when 5 years old.

## TRADE ACT CERTIFICATION

The certification unit develops policies, plans and procedures to certify firms eligible to apply for trade adjustment assistance. The staff reviews certification petitions for acceptance or rejection, conducts investigations for all accepted petitions, and issues certificates of eligibility to (or denies the petitions of) firms under the terms of the Trade Act of 1974, as amended.

The staff controls the certification process and makes reports on the trade adjustment activity to appropriate units within EDA and the Department. It also provides policy guidance and direction to U.S. and Foreign Commercial Service District Offices regarding trade adjustment and industry assistance projects, including specialized training for staff.

## 2. Trade Act Certification Case Files. *(Supersedes NCI-151-85-2, item 1)*

These files document the determinations made about the eligibility of domestic firms that have petitioned for certification of eligibility for adjustment assistance under the Trade Act of 1974. These include accepted, rejected, certified, decertified, withdrawn, denied, or terminated cases. The file is arranged alpha-numerically by case number, and also includes the petitioner's name.

- a. Cases of a precedential nature and those involving technical assistance given to a firm.

*1A  
7/6/92*  
~~TRANSFER TO UNRL ~~2 YEARS OLD~~ WHEN 2 YEARS OLD, AND DESTROY~~  
~~Destroy when 20 years old. WHEN 20 YEARS OLD.~~

- b. All other cases.

~~TRANSFER TO UNRL WHEN 2 YEARS OLD, AND DESTROY WHEN 10 YEARS OLD.~~  
~~Destroy when 10 years old.~~



### **3. Trade Act Certification Subject Files.**

General correspondence pertaining to the administration and operation of the Trade Act Certification function. These are arranged alphabetically by subject.

Review files annually and destroy individual documents or entire contents of file folders in office space when no longer needed for reference.

### **4. Chronological Files.**

Copies of documents prepared in the office and related records. These are filed by date.

Destroy in office space when three years old.

### **5. Trade Act Certification Data System.**

The staff enters a variety of data into a personal computer about the case files the office processes. The data include the project file number; the name and location of the petitioning firm; the type of product the firm manufactures; the petition milestones, such as the date received and the date accepted; and the determination the office makes on the petition.

The staff uses the resultant hard copy reports of the data to answer case inquiries, to track the status of cases, and to meet such other management needs as may arise from time to time. Three principal reports are presently generated, namely: Alphabetical Listing of Petitioning Firms; a Certification Calendar or Firms under the Trade Act of 1974; and, a Petition Log.

- a. Source documents, such as the petition or other case specific papers.

File in the appropriate case file upon verification of the data on related magnetic media (for example, hard disk).

- b. Hard Copies of Documents.

- 1. Official File Copy - File in the appropriate subject file maintained in the office.
- 2. Duplicate copies - Destroy in office space when no longer needed for reference.

- c. Magnetic Disks.

Erase data when no longer needed for reference.



## TECHNICAL ASSISTANCE

The technical assistance unit develops policies, guidelines and procedures for providing technical assistance under the Trade Act of 1974, as amended, to firms and industries adversely affected by imports. Among its functions are to establish, supervise, coordinate, and monitor the operations of Trade Adjustment Assistance Center(s) (TAACs) to assure uniform operations; provide assistance to firms through TAACs which provide adjustment assistance to firms injured by imports; provide cooperative agreement to industry associations and other organizations that will perform tasks to improve an industry's competitiveness; and coordinate technical assistance activities with other EDA units and Federal agencies.

### 6. Technical Assistance Cooperative Agreements (TAAC Files).

*(Supersedes NCI-151-85-2, item 2)*  
These cooperative agreements awarded to TAACs to help trade injured firms and industries consist of such materials as the recipient (TAAC) proposal or application, papers documenting the agreement, papers reflecting monitoring of cooperator activities, reports, accounting documents, preliminary or final reports, audit matters, and documents relating to firms assisted by the EDA funded TAACS. TAAC files are closed upon receipt of a final report, upon final payment, and/or resolution of any final audit issues.

*2 YEARS AFTER TERMINATION OF AGREEMENT.*

**PERMANENT.** Transfer to WNRC ~~when no longer needed in office space~~  
Offer to the National Archives when 15 years old.

*LB  
7/6/92*

### 7. Firm Files.

These files consist of requests for technical assistance from trade injured firms. Included in the file for each firm is a letter of application, a business analysis by a consultant retained by the responsible TAAC, an adjustment plan, progress reports, audits, and a final report. Firm files are closed once TAAC assistance to the firm is completed or becomes inactive.

Transfer to WNRC 4 years after closure. Destroy when 12 years old.

### 8. Denied and Withdrawn Technical Assistance Applications.

Applications and related papers that are either voluntarily withdrawn by the applicant or denied by EDA because the applicant failed to meet technical assistance requirements.

Destroy in office space 3 years after the application's denial or withdrawal, or when no longer needed for reference, whichever is later.